



DEPARTMENT OF THE NAVY

NAVAL AIR SYSTEMS COMMAND
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NAVAIRINST 4130.1E
AIR-1.1.3

NOV 14 2016

NAVAIR INSTRUCTION 4130.1E

From: Commander, Naval Air Systems Command

Subj: NAVAL AIR SYSTEMS COMMAND CONFIGURATION MANAGEMENT POLICY
AND PROCESS

Ref: (a) NAVAIR Manual M-4130.1
(b) SECNAVINST 5400.15C
(c) 44 U.S.C. § 3554
(d) FAR 42.302
(e) ANSI/EIA-649-B "Configuration Management Standard"
(f) EIA-649-1 "Configuration Management Requirements for Defense Contracts"
(g) GEIA-HB-649A "Configuration Management Standard Implementation Guide"
(h) DoD Instruction 5000.02 of 7 January 2015
(i) NAVAIR MOA 5400 Ser 02012-010 of 24 Feb 2012

1. Purpose. To define policy, processes, procedures and responsibilities governing configuration management (CM) during the entire prescribed acquisition life cycle of a project within the Naval Air Systems Command (NAVAIR). This instruction and reference (a) are hereby implemented and endorsed as policy for CM. This instruction is a complete revision and should be reviewed in its entirety.

2. Cancellation. This instruction cancels NAVAIRINST 4130.1D.

3. Scope. This instruction applies to all NAVAIR programs managed by the Assistant Commander for Acquisition (AIR-1.0), Program Executive Officers (PEO), Naval Air Warfare Centers (NAWC), and all Fleet Readiness Centers (FRC) over which NAVAIR has technical authority. This instruction also applies to Joint Service, international programs, and foreign military sales (FMS) acquisition projects. Any exceptions to this instruction must be approved by program management, CM Policy and Process Division (AIR-1.1.3).

4. Policy. Following references (a) through (i) CM must be performed by NAVAIR per the policy and processes defined in this instruction and reference (a). The PEO and the office of primary responsibility (OPR) have ultimate responsibility for the final performance and configuration of the systems it acquires or modifies.

5. Definition and Functionalities. CM is defined as a programmatic process for establishing and maintaining consistency of a product's performance, functional, and physical attributes with its requirements, design, and operational CM information throughout its life. As a programmatic

NOV 14 2016

technical discipline, CM facilitates the orderly management of product acquisition information and product changes, modifications, or upgrades within the five functions of CM: planning and management, identification, control, status accounting, verification, audits and assessments. When properly implemented, CM enables the PEO or OPR to:

- a. Establish formal CM planning to achieve an effective, predictable and repeatable CM process. CM planning and management provides the plan to manage the CM process for the context and environment in which CM is to be performed and to provide for monitoring and improving the CM processes;
- b. Identify the configuration item (CI) of a project and accurately define and document the functional and physical characteristics of a CI in sufficient detail so that it may be developed, tested, evaluated, produced, procured, inspected, accepted, operated, maintained, supported and sustained throughout the life cycle of that CI and project;
- c. Manage the configuration control of all updates, modifications and changes to the CI and their related configuration documentation throughout a product(s) life cycle. Configuration control is a systematic programmatic process that ensures changes to released configuration documentation are properly identified, documented, evaluated for impact, approved by an appropriate level of authority, incorporated, and verified;
- d. Record and report a highly reliable and repeatable source of configuration status accounting (CSA) to support all program or project activities including program management, engineering, manufacturing, software development and maintenance, logistic support, modification, maintenance, cybersecurity and information assurance documentation;
- e. Audit, verify, and assess the supplier, sub-supplier, or both, whether government or civilian, contractually obligated to design, build, produce, manufacture and modify the CI to verify and ensure conformance to Department of Defense (DoD) accepted CM standards and specific NAVAIR policy for CM contained within this instruction and reference (a); and,
- f. Ensure as the Navy representative aviation agency, NAVAIR follow the minimally acceptable CM requirements and adhere to reference (c) sections (b)(2)(D)(iii), reference(d) (a)(41), and reference (g).

6. Responsibility and Authority. Policy, process and levels of specific authority identification and CM requirements for each NAVAIR organization, competency, PEO and OPR that have responsibility for the completeness and accuracy of the elements contained in CM documentation, CM plans (CMP), change management packages, NAVAIR Configuration Control Board (CCB) actions, and configuration audits and assessments are specifically delineated in reference (a) and this instruction.

- a. The NAVAIR PEO and OPR (i.e., the program office or competency code) that has overall management responsibility for CI with guidance from AIR-1.1.3 and the assigned CM has the responsibility and authority to:

NOV 14 2016

- (1) Implement DoD and NAVAIR life cycle CM process requirements for assigned CI;
 - (2) Ensure the PEO and OPR attain an AIR-1.1.3 CCB or decentralized CCB (DCCB) charter, CMP approval, and maintains the charter per this instruction and reference (g); and,
 - (3) Establish appropriate configuration baselines and maintain correct CSA for all projects which fall under their purview.
- b. AIR 1.1.3 has the delegated responsibility and authority from the Commander, NAVAIR (AIR-00) to:
- (1) Establish, implement, and enforce CM policy and process for the NAVAIR and for all aspects of CM delineated in this instruction and reference (a);
 - (2) Chair and manage the NAVAIR CCB, DCCB charter approval system, and the current enterprise change management (ECM) system database for all of NAVAIR;
 - (3) Function as NAVAIR CM subject matter expert;
 - (6) Establish and maintain standardized CMP policy; and,
 - (7) Train PEO, OPR, NAVAIR, NAWC, and FRC CM personnel in the five functions of CM, and NAVAIR CCB and engineering change proposal (ECP) processes.
- c. PEO and OPR CM, the CM has the responsibility and authority to:
- (1) Manage and coordinate all aspects of CM delineated in this instruction and reference (g) for their NAVAIR organization;
 - (2) Report all aspects of each NAVAIR organization, competency, PEO, and OPR CM policy and process status to the cognizant commander, PM, or principal deputy program manager on a routine basis; and,
 - (3) Manage all aspects of the CMP, CCB, and DCCB charter for the organization to which they are assigned.
- NOTE: CM must fill a functional lead or programmatic position and will report directly to the PEO, OPR, or their designated deputy.
- d. NAVAIR Organizational CM responsibilities are listed in paragraph 6d(1)-(2).
- (1) All NAVAIR organizations, competencies, PEO, and OPR identified in this instruction and reference (a) will implement DoD and NAVAIR life cycle CM process requirements and all CCB actions and change management packages for assigned CI and are wholly responsible for all aspects of CM delineated within this instruction and reference (g);

NOV 14 2016

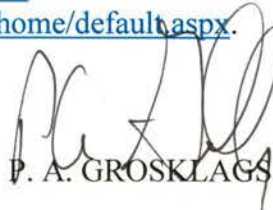
(2) All members of cognizant NAVAIR PEO and OPR Integrated Product Teams, NAVAIR organization acquisition project teams, any applicable government agency contractually obligated to perform project acquisition management for NAVAIR and all applicable international organizations (e.g., FMS) partnered with NAVAIR organizations are considered equal stakeholders in the NAVAIR ECP and CCB process and have the assigned responsibility to review, concur, and approve NAVAIR ECP and CCB action packages as designated under their specific authority and per reference (a).

7. NAVAIR CCB requirements. The NAVAIR CCB requires specific actions from stakeholder PEO, OPR, and all NAVAIR organizations. These actions are the review, concurrence, and approval of change management CCB actions as applicable. This instruction and reference (g) delineate which organizations within the CCB have voting approval authorization responsibility (voting members) and those that have review or concurrence authority only (associate voting members). This organizational authority is delineated in reference (a).

8. Records Management. Records created as a result of this instruction, regardless of media and format, will be managed per SECNAV Manual 5210.1 of January 2012.

9. Review. Per OPNAVINST 5215.17A, AIR-1.0 will review this instruction annually on the anniversary of its effective date to ensure applicability, currency, and consistency with Federal, DoD, SECNAV, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will automatically expire 5 years after effective date unless reissued or canceled prior to the 5-year anniversary date, or an extension has been granted.

10. Forms. Applicable CM forms referred to in this instruction and in reference (g) are located electronically at <https://directives.navair.navy.mil/> or <https://myteam2.navair.navy.mil/corpapps/ams/home/default.aspx>.



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Releasability and Distribution:

This instruction is not cleared for public release. Electronic only via the NAVAIR Directives Web site at: <https://directives.navair.navy.mil>